

*Managing Sponsored Research at Berkeley Lab  
Processes Related to Establishing and Managing Awards*

**Managing Award Funding (Contract Value)**  
*Summary Roles and Responsibilities*

***E-Notification from LBNL Business Services Enterprise System:***

1. The day after the award costs exceed 75% of total award funding (25% of contract value remaining) an e-notification is sent to the PI, Division Email, and SPO so they are aware of the spending and funding position of the award and can manage accordingly.
2. The day after the costs exceed the award funding, an e-notification is sent to the PI, Division Analyst, AR, and SPO that Award no longer has any funding and it will be closed the following month unless funding is received to place it back into a positive funding position by Day 0 of the Close.
3. At the end of the following month, if the award has remained in a negative funding position, an e-notification is sent to the PI, Division Analyst, AR, and SPO that Award and associated projects is sent indicating the award is now in the closeout phase. If the award balance becomes positive prior to Day 0 of the Close, then the Award and Project IDs will not be closed.

***Principal Investigator:***

Works with Division Analyst to maintain spending patterns to assure that costs will not exceed the total award funding.

Works with Division Analysts to eliminate new costs after the Period of Performance.

***Division Analyst:***

Works with PI to maintain spending patterns to assure that costs will not exceed the total award funding.

Works with PI to eliminate new costs after the Period of Performance.

***Controller/Accounts Receivable:***

Assures that costs exceeding the total award funding are not billed in error to the sponsor.

Works with Division Analyst to assure costs incurred after the Period of Performance were the result of commitments prior to the end of the Period of Performance.

Assures unbilled costs are included in the Final Invoice (see Award Expiration and Closeout)

***Sponsored Projects Office:***

Works with PI and Division Analyst to amend award, if appropriate, to allow for costs to be billed under the award.

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**Definition of Roles & Responsibilities**  
**Negative Funding Management**

Final 3/31/04

Division	Sponsored Projects Office	Controller
NOTE: Negative Funding Position is when the costs exceed funding (contract value). If an award is in a negative funding position 30 days or longer, the award and all projects will be closed at the end of the month after at least 30 days in the negative funding position. The award and Projects cannot be reopened until after there are sufficient funding on hand to cover research.		
E-Notification: The day after the award funding level is 25% or less than the total funding authorized for the award and 120 days or more from the expiration date, RAPID/BAR will send an e-notification to the PI, Division Analyst, and SPO alerting them to the fact that funding is low.		
Division Analyst reviews actual costs against the funding. Reviews with PI. If additional funding is expected, prepares appropriate documentation (depending if it incremental funding or an amendment for new funds) and contacts SPO to process and negotiate the additional funding.		
	SPO receives and reviews the package. If SPO can secure confirmation from the Sponsor that continuation funding will be authorized, then Division Analysts can request continuation Bridge Funding through that process.	

Division	Sponsored Projects Office	Controller
If funding is confirmed, then Bridge Funding can be requested.		
	SPO reviews and approves the Bridge Funding Request	
		General Accounting and Budget Office review and approve continuation Bridge Funding.
	SPO enters Bridge Funding into RAPID.	
	OR if Funding is received, SPO authorizes the funding and updates the expiration date and period of performance so the award and projects will not close.	
E-Notification: If the funding or Bridge Funding is not in place, the day after the award goes into Negative Funding position, RAPID/BAR will send an e-notification to the PI, Division Analyst, AR, and SPO that Award is in Negative Funding position and will be closed the following month unless sufficient funding is received to place it back into a positive funding position before Day 0 of that month.		
E-Notification: If the funding or Bridge Funding is not in place, at the end of the first full accounting period (one month) the award and projects will be closed. The award is then ready to be closed out or it will be reopened at such time additional funding and time has been negotiated and authorized by SPO .		